



# A Supervisor's Guide to Effective Performance Evaluation

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For the Town of Darien

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This *Guide* has been developed to assist supervisors in matters related to performance evaluation and review. This publication may be used as a resource when issues or problems arise in the area of performance evaluation. It should be used in conjunction with the publication *A Supervisor's Guide to Proactive Labor Relations in the Public Sector*. *Permission to reference is granted if credit is maintained.*

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## ACKNOWLEDGEMENT

This *Guide* has been developed to assist supervisors in matters related to performance evaluation. It is hoped that you will refer to this manual and use it as a resource when issues or problems arise in that area. It should be used in conjunction with the publication *A Supervisor's Guide to Proactive Labor Relations in the Public Sector*. This will ensure that if there is cause to take proactive steps to address performance deficiencies that it is accomplished in a legally and procedurally defensible manner.

If any of the information contained herein conflicts with the collective bargaining agreement reached between the employer and the exclusive representatives of its employees such agreements will prevail.

## INTRODUCTION

Performance evaluation is a powerful and effective management and supervisory tool. It is also a part of the supervisor's job function. Its primary purpose is to improve communication between supervisor and employee about job expectations and performance. Improved performance by the individual can have a positive effect on the performance of the overall team and ultimately the organization.

The purpose of this *Guide* is to:

- ❖ Assist you with understanding the performance evaluation process;
- ❖ Help you to conduct effective performance evaluations; and
- ❖ Provide you with specific tips on how you can improve productivity through performance evaluations.

While there are a number of terms that are used interchangeably with performance evaluation, such as performance appraisal, performance evaluation, in general, will be the term of choice used throughout the document. In addition, it is important to point out that there are a plethora of performance evaluations systems and standards and rubrics for evaluating performance. A common approach to assessing performance is to use a numerical or scalar rating system by which managers are asked to score an individual against a number of objectives/competencies. In some organizations, employees receive assessments from their manager, peers, subordinates, and customers, while also performing a self-assessment. This is known as a 360-degree evaluation and is intended to form positive communication patterns.

## **I. WHAT IS COVERED IN THIS GUIDE**

This *Guide* is intended for all supervisors.

We recognize that many supervisors may dislike or fear having to conduct performance evaluations. This *Guide* will review some of those reasons, but takes the position that evaluating performance is an important key to effective supervision and management.

The *Guide* covers three overlapping phases in Performance Evaluation and Review. These phases are:

1. Work Planning
2. Rating Period
3. Performance Evaluation Interview

## II. HOW CAN YOU USE THIS GUIDE

You should use this *Guide*:

- ❖ To help you become more proficient at conducting a performance evaluation interview, for annual or other performance evaluations and performance review meetings;
- ❖ As a reference in case you need answers about performance evaluation and review; and
- ❖ As a study guide along with other performance review materials.

This *Guide* may be used in conjunction with the publication entitled *A Supervisor's Guide to Proactive Labor Relations in the Public Sector*.

### III. UNDERSTANDING THE PERFORMANCE EVALUATION PROCESS

#### Why Evaluate Performance?

The primary purpose of performance evaluation and review is to develop staff by:

1. Establishing performance standards through review of observable and measurable work activities.
2. Implementing a plan to:
  - a. Maintain satisfactory or proficient performance;
  - b. Correct/prevent performance problems or deficiencies; and
  - c. Enhance competency in performance areas.
3. Building or broadening employee skills for future job opportunities.

#### Why Supervisors Dislike Evaluating Performance

How are evaluations really viewed by supervisors? Are they seen as an important part of a supervisor's job or handled as an extraneous exercise in paper shuffling?

Below are reasons why some supervisors dislike evaluating performance. Check off the ones that you may feel apply to your experience, and read the comments below each one:

\_\_\_\_\_ *Do Not Understand How to Effectively Evaluate Performance*

People tend to avoid things they do not know how to do because they fear they will be done incorrectly. Since there are negative consequences to incorrectly doing a job, we may not like to perform this function. This *Guide* will help instill confidence by teaching you how to effectively conduct performance evaluations.

\_\_\_\_\_ *Do not understand performance evaluation's value*

Performance evaluations affect many areas of your work day including: time management, employee relations and communications, standards and goals, office productivity and job advancement. Performance evaluations, for these reasons, are valuable for you, your employees, and your organization.

\_\_\_\_\_ *Feel confused about the basis for the Performance Evaluation*

Performance goals and standards are ways we use to measure whether or not our goals are being met. If we lack the basis or the yardsticks with which to measure results, how can we assess performance? At best, we would only be able to make a rough guesstimate.

\_\_\_\_\_ *Believe it is a nuisance, or too time consuming*

Conducting your first few performance evaluations may be frustrating, but once you gain experience, less time and effort will be needed, and positive results should accrue.

\_\_\_\_\_ *Do not like evaluation system or forms*

The actual rating form is merely the vehicle of a performance evaluation process. Since there is much more involved in evaluating than the rating form, a less than perfect form should not be seen as a reason not to properly administer the performance evaluation and review system.

\_\_\_\_\_ *Feel it is difficult to avoid being biased*

We tend to impart our own feelings even when using a formal performance evaluation process. If this is the case when using a systemized process, how fairly do you think we would rate performance if no system were being used?

\_\_\_\_\_ *Feel concerned about morale*

If you think the morale of your department or team is low, ask yourself, why is the morale low? Could it be because employees are not informed about their performance? Are they being given clear performance standards? Do they know what to do, how to do it, what the level of quality should be, and the timeframes for completion? In most cases, evaluations allow employees to get both positive and negative feedback on their work.

\_\_\_\_\_ *Do not want to prevent someone from being promoted*

It is not in your organization's best interest to promote employees who have not performed up to acceptable standards. We are then much better off with a system that bases promotional decisions on job related accomplishments and performance, as opposed to informal, unsubstantiated, or subjective criteria.

\_\_\_\_\_ *Do not feel comfortable communicating about performance*

Performance evaluation improves communication because the system sets up a process for facilitating positive communication and feedback between supervisor and subordinate.

\_\_\_\_\_ *Employees lack an accurate job description*

This could be a problem for supervisors since some job descriptions may be used across a broad spectrum of organizational units. Let your Human Resources representative know when a substantive revision is necessary. If the descriptions are up-to-date and include the essential job functions, the supervisor will have less trouble writing performance standards and goals for employees.



\_\_\_\_\_ *Lack of documentation of employee's performance*

Since supervisors have difficulty observing employees' performance at all times, it is important to keep track of critical incidents that occur throughout the year. In this way a supervisor has written documentation to refer to before and during the rating interview.

\_\_\_\_\_ *Do not want to be a "bad" person and hurt someone's feelings*

Although giving constructive criticism and/or confronting an employee may be difficult, you can hinder employees' future growth by not sharing your feedback, both positive and negative, regarding performance. Failure to address the shortcomings of an employee may also result in a morale problem among other employees, who may be forced to shoulder a disproportionate part of the workload. While it may not be easy to address performance problems, it is a fundamental part of supervisor's job.

In some instances, supervisors may fear evaluating performance because they know that even in the best of situations there is some degree of subjectivity involved. Since supervisors cannot realistically observe their employees every working minute, an evaluation can never be 100 percent accurate. In all honesty even if they could observe them every minute, it would not negate the possibility of subjectivity.

Once this conflict is realized and accepted, supervisors should attempt to conduct the most accurate and objective performance evaluation possible.

So much emphasis has been placed on the negative impact of not doing a good performance evaluation that the positive benefit of doing a good job has not received the attention it deserves. Let us now look at the positive reasons for conducting performance evaluations.

### **The Benefits of Performance Evaluation**

What is in it for the employee, the supervisor, and the organization?

The following is a list of benefits of a performance evaluation system. Check the ones with which you agree:

1. Provides guidance for supervisor-employee discussions about:
  - a. Job responsibilities and work tasks
  - b. Performance standards
  - c. An employee's strengths and areas of growth
  - d. Ways to improve performance
  - e. How a supervisor can help an employee improve
  - f. Career-planning: promotional opportunities and skills development

2. Improves employee-supervisor communication
3. Identifies roadblocks to personal productivity
4. Identifies an employee's training needs for professional development
5. Provides data to evaluate the effect of training
6. Provides data for staffing decisions: promotions, reassignments, allocation of resources, etc.
7. Provides data to assess if the person hired or promoted has performed at the level expected
8. Provides data for updating job descriptions
9. Provides data for a supervisor's and employee's use in establishing next year's work assignments and goals
10. Assists in defending against legal challenges (e.g., discrimination complaints including hostile work environment and negligent retention claims)

Performance evaluations can be an extremely useful tool and, if done correctly, empowering and a key to effective supervision!

## **The Three Phases of Performance Evaluation and Review**

The performance evaluation process involves three phases. These flow together in an ongoing cycle, which is represented as follows:

### **1. *Performance Evaluation Interview***

This is the meeting between the supervisor and the employee at which the employee's performance is discussed and summarized. The meeting is the end result of the work planning and rating period phases. At this meeting you present and discuss the summary of the employee's performance during the rating period and begin planning work for the upcoming rating period. This should not preclude regular performance reviews during the rating period.

Since the rating outcomes have serious meaning to employees, ratings should be done as carefully and objectively as possible.

### **2. *Work Planning***

Work planning takes place at the beginning of the rating period or after the rating interview. This is the time when the supervisor and the employee plan for the upcoming rating period. Work planning requires the supervisor and the employee to review and update job requirements, developmental issues, performance standards, and, if applicable, specific job goals and benchmarks. The Employee Development Plan has been designed for that purpose.

### **3. *Rating Period***

This phase is the period of time between work planning and performance evaluation interview. Throughout the rating period supervisors should monitor employee behavior and performance based on job expectations as outlined in the work planning stage. The rating period may also require the supervisor to deal with any new work situations, both positive and negative. Throughout this phase, some form of recognition, checking, or redirection may be appropriate. Critical employee incidents should be noted for reference when filling out the rating form. Remember that the rating period normally spans up to a year or more. The employee's work must be evaluated for the entire rating period, not just a portion of it.

## **How to Evaluate an Employee**

*Base the evaluation on the typical performance of the employee during the entire rating period.* Be careful not to overemphasize recent happenings or minor isolated incidents that are not typical of the employee's regular performance.

*Base evaluation on accurate data obtained from records whenever possible or from careful observation when this is not possible.* Compare the performance of the employee being evaluated with the performance of individuals who have performed the same job, keeping in mind the requirements of the job.

*Do not let your evaluation in one category influence your evaluation in other categories.* Supervisors have a tendency to give an employee who rates very high in one category a higher rating than may be merited in other categories. Similarly, when an employee is weak in one job element, the rating supervisor might assume the employee is weak in other respects, which may not be the case. Bear in mind that each category should be considered independently of the others.

*Do not permit the level of the job or length of service to affect the rating.* Consider only the performance of the employee in relation to the specific requirements of the job. Do not rate an employee too highly simply because the employee has significant longevity with the organization.

*Do not let your personal feelings bias your evaluation or allow you to “sympathetically” rate an employee.* The evaluator must be constantly on guard against the normal inclination to attribute greater proficiency to employees who are well liked personally or regarded sympathetically. If there are special circumstances impacting performance, explain such circumstances in the space provided for each category.

*Do not be swayed by a previous evaluation.* While the previous rating can be utilized to determine whether an employee has progressed, regressed, or stayed the same, each evaluation should be completed without undue reliance on prior ratings. Substantial differences do not necessarily mean that the present or the previous evaluation is incorrect.

*Guard against letting your evaluation of job categories or job elements fall into a consistent or routine pattern.* There may be wide differences amongst employees in job performance with respect to the various categories considered.

*Do not rate an employee based on vague impressions.* To appropriately evaluate, you must have a firm grasp of the employee’s performance. Always adhere to the facts, including personal and outside observations. Refer to available records and documentation as appropriate.

*Do not evaluate too hastily.* Take adequate time to evaluate fairly and accurately.

*Do not hesitate to go on record with your true assessment.* An effective performance evaluation system differentiates between the performances of employees being rated.

## **IV. PERFORMANCE EVALUATION INTERVIEW**

### **What is a Performance Evaluation Interview?**

A performance evaluation interview is the final step of the evaluation process. It is the end result of an employee's performance through the rating period. Therefore, successful interviews depend largely upon the previous work planning and rating period phases. If you do a proficient job at planning for and providing feedback during the rating period, the interview should hold no surprises for the employee.

There are two types of interviews covered herein. They are:

1. *Annual or Bi-Annual Performance Evaluation*: A mandatory evaluation, which is typically conducted annually for at-will and non-probationary employees.
2. *General Performance Review*: A periodic checking which is conducted between annual or bi-annual performance evaluations.

### **When Should Supervisors Complete Performance Evaluation Interviews?**

Performance evaluation interviews should be completed at the following instances and times:

- ❖ During any probationary period, either promotional or original, not less than half-way through a probationary period.
- ❖ When the performance of an employee with regular or regular status has been rated as NEEDS IMPROVEMENT or UNSATISFACTORY. (Note: This will also require an Employee Development Plan.)
- ❖ When the supervisor wishes to amend a previously reported NEEDS IMPROVEMENT or UNSATISFACTORY rating due to the marked improvement in an employee's performance.
- ❖ Annually for many employees on a regular schedule, such as the employee's anniversary date.
- ❖ At such other times as the appointing authority deems that the quality of service of an employee should be recorded.
- ❖ Quarterly or semi-annual progress reviews are recommended for all employees.

**NOTE:** The minimum period covered by a performance evaluation should not be less than 90 days, except during a probationary period when ratings may be given more frequently.

## **Preparing for the Performance Evaluation Interview**

The success of a performance evaluation interview depends largely on the degree of preparation by both the supervisor and the employee. A performance evaluation interview should be structured and planned, rather than a casual conversation about performance.

### *Plan for plenty of time and privacy for the discussion*

The setting should be private and free from distractions and interruptions.

### *Prepare thoroughly for each meeting*

- ❖ Review the employee's job responsibilities, standards, and goals prior to the meeting.
- ❖ Review the employee's personnel file, and, in particular, the last evaluation in order to compare performance.
- ❖ Discuss the employee's work performance with your supervisor so that he or she is aware of the actions you intend to take.
- ❖ Review the employee's critical incident or administrative file. Rate only on performance within the rating period in question.

### *Allow for employee preparation time*

Give advance notice of the purpose, time, place and approximate duration of the meeting. Ask employees to either submit to you in advance, or bring to the meeting, information relative to work plans and goals including:

- ❖ Accomplishments relative to what was planned;
- ❖ Unplanned work accomplishments;
- ❖ Setbacks and shortfalls and why these occurred;
- ❖ Agreed upon changes in work assignments and goals; and
- ❖ Suggestions for maintaining satisfactory or proficient performance and how to correct problems with performance.

## Checklist for Preparing for the Performance Evaluation Interview

This checklist can be used to determine that you are adequately prepared for the rating interview:

	YES	NO
✓ Do I have a clear understanding of the responsibilities of the employee?	_____	_____
✓ Have the responsibilities of the position been communicated to and are they understood by the employee?	_____	_____
✓ Does the employee have a current job description which defines the principal duties of the position?	_____	_____
✓ Have work goals been clearly stated and acknowledged by the employee?	_____	_____
✓ Is the evaluation based on written supervisory notes?	_____	_____
✓ Can I substantiate my ratings?	_____	_____
✓ Have the employee and I communicated frequently regarding job performance prior to the interview?	_____	_____
✓ Have I reviewed the employee's personnel file, and the last performance evaluation?	_____	_____
✓ Have I allotted sufficient time for the interview?	_____	_____
✓ Are the employee and I meeting in a private area, free from outside interruptions (e.g., phone calls)?	_____	_____
✓ Am I prepared to emphasize positive elements of job performance and give constructive feedback on deficiencies?	_____	_____
✓ Have I thought of the "developmental" needs of the employee?	_____	_____
✓ Can I recommend training or workshops to help the employee improve?	_____	_____

## **Guidelines for Conducting the Performance Evaluation Interview**

Once prepared, consider the following guidelines for conducting interviews:

- ❖ Evaluate only the rating period being considered.
- ❖ Put the employee at ease by providing a warm-up period.
- ❖ Tell the employee that the purpose of the interview is to discuss work performance and to see if there is anything that can be done to help.
- ❖ Ask for the employee's views concerning: accomplishments, problems, and suggestions for improvement.
- ❖ Provide recognition for good performance. Build on the employee's strengths; do not overemphasize areas of deficiency.
- ❖ Discuss only one or two areas in need of improvement at a time. Dwelling on negative aspects of employees' performance can bring out natural defensiveness and anxiety.
- ❖ Ask the employee to think about ways that performance problems can be addressed, and decide if a corrective action plan is required.
- ❖ Determine performance standards and job goals for the upcoming rating period.
- ❖ End by expressing confidence that satisfactory performance can be maintained and problem areas corrected.

These guidelines should assist in making the interview a more positive and productive experience for both supervisor and employee.

## **How to Communicate During the Performance Evaluation Interview**

### *Use Quantifiable Data and Specific Documentation*

Do not focus on personality traits unless they have interfered with the employee's performance. Employees must be aware, however, that an important part of the job involves customer service and the ability to get along with co-workers, supervisors, and the public. Subjective generalities have no place in the performance planning and review process. Give the employee concrete examples from your critical incident or administrative file.

### *Encourage Employee Participation: Ask Questions*

Communication must be in two directions. Elicit the employee's comments and/or suggestions. Involve the employee in developing solutions to increase motivation and sense of participation. Do not do all the talking.



### *Practice Active Listening Skills*

To promote discussion and feedback use:

- ❖ *Open-ended questions.* e.g., “In what areas do you feel you did the best job?” This requires the employee to give specific answers to questions, not just a “yes” or “no” answer.
- ❖ *Restatement.* e.g., “So you feel the addition of the work XYZ affected your ability to do ABC?” This should evoke additional comment.
- ❖ *Silence.* This can also be useful. Sitting without comment for a moment usually draws out further remarks.

### *Show your Understanding of the Employee’s Viewpoint*

By listening you take the time to hear what the employee is saying. Be willing to reconsider your view based on new facts which may be presented by the employee.

### *Maintain a Positive Tone*

A balanced rating approach recognizes both accomplishments and areas in need of improvement. Yet, in general, the tone between you and the employee should be positive. Remember that the goal is to review past performance against specific job requirements and to enhance job performance in the future.

## **Errors Frequently Made by Supervisors in Completing Performance Evaluations**

How many of the following errors associated with performance evaluations have you made or witnessed?

### 1. \_\_\_\_ *Inconsistency in Rating Factors*

The key to effective performance evaluation is to be consistent in the various rating factors with each successive rating period. Does an employee receive an EXCELLENT during one rating period for a relatively small volume of work, yet only a PROFICIENT in another rating period for a large amount of work? This is considered an inconsistent application of rating factors.

### 2. \_\_\_\_ *Evaluator Response Bias*

There are several types of biases that can come into play. These include:

- a. *Halo Effect.* The tendency of the rating supervisor to overrate a favored employee. This can happen for a variety of reasons:

- i. *Effect of past record.* Because the employee has performed well in the distant past, performance is assumed to be acceptable too in the recent past. The assumption of acceptable work tends to carry over into the current rating period.
  - ii. *Compatibility.* There is a tendency to rate employees who have a pleasant manner or demeanor more highly than they may deserve. Those who agree with us, or readily defer to our judgment, may receive better ratings than their job performance justifies.
  - iii. *Effect of recency.* The employee who did an outstanding job last week or yesterday can offset mediocre performance over the rest of the year by this single act.
  - iv. *The one-asset employee.* The smooth talker, the employee with an impressive appearance or an advanced degree, or graduate of the supervisor's own alma mater, gets a more favorable rating than the employee lacking these often extraneous attributes.
  - v. *The blind-spot effect.* This is the case where the supervisor does not observe certain types of flaws because he or she is just like the employee being appraised. For example, the supervisor who loves accounting may overrate another detail-oriented employee.
  - vi. *The high-potential effect.* We sometimes judge the employee's paper record rather than his or her accomplishments for the organization.
  - vii. *The no-complaints bias.* Here the evaluator treats no news as good news. The subordinate who does not complain and simply goes along to get along is rewarded.
- b. *Horns Effect.* The reverse of the halo effect. This is the tendency to rate a person lower than their record justifies. Some specific causes of this are:
- i. *The supervisor is a perfectionist.* Because the expectations of the supervisor are so high, he or she is more often disappointed and rates an employee lower than deserved.
  - ii. *The subordinate is contrary.* In this instance, the supervisor expresses irritation with the employee's tendency to disagree on what he or she considers being too many issues.
  - iii. *The oddball effect.* Despite all the professed respect for non-conformance, it seldom finds its way into practice when performance evaluations are due. The oddball, the maverick, the nonconformist gets low ratings simply because of being different.

- iv. *Membership on a weak team.* Good players on a weak team end up being rated lower than they would have been had they been members of a winning team.
- v. *The guilt-by-association effect.* If an employee does not associate with the group that the supervisor respects or is comfortable with, the employee is not judged fairly.
- vi. *The dramatic-incident effect.* A recent error can negate the effect of months of good work and give the employee a lower than deserved rating.
- vii. *The personality-trait effect.* The employee who viewed as too cocky, too brash, too meek, too passive, or otherwise lacks some trait the supervisor associates with good employees is penalized.
- viii. *The self-comparison effect.* An employee, who performs the job differently than the way the supervisor used to perform the same job, receives a lower rating than an employee who performs the job in a similar manner.

### 3. \_\_\_\_ *Hawthorne Effect*

This occurs when the employee's work performance is different than usual when the supervisor observes it. This can lead to a false reading of performance. A way to avoid the Hawthorne Effect is by obtaining information from sources that may observe the employee under more natural conditions. Obtaining information from the public may be one way of doing a double check in order to verify your own observations.

### 4. \_\_\_\_ *Incomplete Observation*

This happens when the supervisor's assessment is based on incomplete observations. Supervisors must work closely and frequently enough with the employee to accurately observe, and fairly assess, his or her performance.

### 5. \_\_\_\_ *Central Tendency*

This is when the supervisor rates every employee as satisfactory or proficient because he or she believes that most employees are "average". Instead supervisors should look at individual work performance and rate accordingly.

### 6. \_\_\_\_ *Severity*

Although no one is perfect, a percentage of employees do perform in a distinguished or outstanding manner and should be rated accordingly.

7. \_\_\_\_ *Leniency*

This is the opposite of severity. A supervisor who rates employees too leniently cheapens the value of an excellent or distinguished rating. Such supervisors tend to give higher than merited ratings simply to avoid having to defend lower more accurate ratings.

8. \_\_\_\_ *Automatic Evaluations*

This is when a supervisor is simply “going through the motions”. Typically little thought, time, or effort, has gone into such evaluations. Areas of deficiency tend to be glossed over again to avoid confrontation or lengthy discussions. The future consequences of these ratings can be problematic for the employee, the supervisor, and the organization.

9. \_\_\_\_ *Half-Hearted Participation*

This occurs when the supervisor is detached, distracted, and unfortunately not appropriately invested in the employee or the performance evaluation process. The expected behavior is that the supervisor gives the employee his or her complete attention; anything short of that is considered half-hearted.

10. \_\_\_\_ *Talking too much*

As a rule of thumb, about 70 percent of the supervisors time during the evaluation interview should be spent actively listening to the employee.

11. \_\_\_\_ *Avoiding Employee Feedback*

Encouraging feedback diminishes the employee’s resistance and facilitates discussion of work during the performance evaluation interview. It also develops mutual commitment toward the interview and helps build trust between supervisor and employee.

12. \_\_\_\_ *Not Considering Supervisors Own Contribution to Employee Success/Failure*

Sometimes an employee succeeds or fails because of something the supervisor has done or failed to do. Ask yourself:

1. Did the supervisor meet regularly with the employee to discover any problems or windfalls?
2. Were standards or goals reasonable? Were they communicated to the employee?
3. Did or didn’t the supervisor provide the employee with the tools to do the job? (e.g., coaching, remedial training, etc.)
4. Did the supervisor ask the employee what could be done to help him or her to improve? While the employee should not be allowed to “pass the buck” for his or her shortcomings,

this is a good way to open communication, diminish defensiveness, and establish a partnership for improvement.

5. Did the supervisor give additional work or take work away? These acts would make it easier or more difficult for an employee to meet goals.

If standards of performance have been effectively established, these errors can be eliminated or at least drastically reduced.

### **Description of Typical Job Rating Categories**

The following represents typical rating categories on a performance evaluation rating form.

*Job Knowledge:* Demonstrates technical knowledge of job procedures, equipment and materials sufficient for proficient performance; understands and effectively applies laws, rules, regulations, policies and procedures; seeks out opportunities to keep knowledge and skills up-to-date.

*Quality of Work:* Work output is complete, accurate and timely; work quality positively impacts interactions with the public, students, parents and guardians, other departments and outside agencies; work quality results in a minimum expenditure of time or resources to correct errors or re-do work; work product meets specified standards for quality.

*Productivity:* Produces an appropriate level of work; completes assignments within specified time limits; adjusts to unexpected changes in work demands to meet timetables; uses available resources effectively to achieve goals; maintains high level of constructive activity.

*Accepts Responsibility:* Puts forth consistent, reliable work effort; requires minimal supervision; maintains positive work attitude; assists others or takes on added responsibilities when time permits; willingly accepts all assignments; demonstrates creativity and ingenuity in developing and improving work methods/results.

*Public Contact:* Projects positive and professional image; demonstrates patience, consideration and respect for others; views people objectively and avoids biases; works effectively with students, parents and guardians, community groups and other stakeholders.

*Co-Worker Contact:* Demonstrates positive, supportive work behavior; works effectively as a member of a team; develops cooperative working relationships with peers and supervisors; shows respect and understanding in co-worker contacts; assists co-workers and/or acts as resource.

*Communication:* Demonstrates good listening skills; communicates ideas clearly both verbally and in writing; presents information objectively in a clear, concise, logical manner; exhibits effective communication techniques in achieving goals.

*Problem Solving/Decision Making:* Identifies problems and the underlying causes; gathers, develops and analyzes data; develops alternative solution and identifies the consequences and

impact; makes timely, logical decisions based on available information and reasonable assumptions; functions effectively in stressful and emergency situations; demonstrates acceptable ethical standards in making decisions; makes decisions within scope of organization's policies and procedures.

*Work Commitment:* Willingly accepts all aspects of job; demonstrates initiative, enthusiasm, dedication and conscientiousness in carrying out job responsibilities; adapts to changes in procedures, priorities or work demands; systematically pursues personal and professional growth.

*Planning/Organizing:* Plans and organizes work to meet goals; successfully establishes and manages work priorities; anticipates and effectively deals with problems; efficiently allocates time and utilizes resources; effectively handles multiple assignments.

*Leadership:* Motivates staff and students and gains their support, cooperation and commitment. Takes charge and initiates action; develops positive work atmosphere that promotes staff participation and fosters teamwork; adapts leadership style to situation; resolves conflicts; clarifies own and/or organization's goals.

*Directing/Evaluating:* Effectively delegates work to staff while maintaining control and accountability; establishes performance standards and ensures they are met; effectively directs the resources under their control; facilitates professional growth; provides staff with resources and assistance needed to attain goals; conducts timely, effective performance evaluations; develops and monitors individual Employee development plans; disciplines and rewards employees promptly, fairly, and consistently.

### **Description of Typical Rating Scale**

The following categories describe the rating scale on a typical performance evaluation form. In rating the employee, the supervisor is expected to indicate how well the employee performed in each of the job performance factors. The four Summary Rating categories are listed and defined below:

**EXCELLENT:** Consistently exceeds standards for goals/goals and job performance factors. Performance at this level is clearly and significantly above the norm.

**PROFICIENT:** Consistently meets goals/goals and job performance factors. Performance at this level is fully satisfactory and should not be considered marginal.

**NEEDS IMPROVEMENT:** Partially meets goals/goals and job performance factors. Performance at this level is below expectations and should not be considered acceptable. Although several aspects of performance may meet expectations, the work in more than two (2) factors is below the level expected of a proficient employee. Employees rated at this level are expected to improve to proficient in a relatively short period of time. A specific plan for bringing performance to an acceptable level should be clearly outlined in the Employee Development Plan.

**UNSATISFACTORY:** Rarely meets goals/goals and job performance factors. Performance at this level is clearly unacceptable and cannot continue. A specific plan for bringing performance to an acceptable level should be clearly outlined in the Employee Development Plan.

### **Overall Evaluations**

The following represents the overall rating categories enumerated on the performance evaluation general form and the basis for those ratings.

**EXCELLENT:** The employee must be rated EXCELLENT in all or most of the rating categories.

**PROFICIENT:** Most of the employee's ratings must be proficient or higher. A NEEDS IMPROVEMENT rating in one job category can still be an overall proficient performance rating. It is indicative, however, of a less than proficient area that must be addressed and remediated.

**NEEDS IMPROVEMENT:** The employee must be rated NEEDS IMPROVEMENT in two (2) or more job categories and have no UNSATISFACTORY ratings.

**UNSATISFACTORY:** The employee must be rated UNSATISFACTORY in one or more categories.

Overall performance evaluations of less than proficient are not to be considered disciplinary per se. The importance of these overall ratings is:

3. The dividing line between NEEDS IMPROVEMENT and UNSATISFACTORY performance is not always clear; and
4. These ratings serve as a warning to employees that their behavior or job performance must improve in order to ensure continued employment.

### **Remarks or Comments Section on Rating Forms**

Supervisors should explain the basis for any rating other than PROFICIENT in the area *titled comments or remarks* on the form.

When writing in remarks or comments make sure you provide responsible comments on the employee's job performance, which add to the rating levels assigned. Also specify any previous counseling sessions and their dates in the remarks or comments section of the rating form, as well as any oral or written warnings or suspensions issued during the rating period.

### **Consequences of Needs Improvement or Unsatisfactory Performance Evaluations**

The consequences of a NEEDS IMPROVEMENT OR UNSATISFACTORY performance evaluation can be serious. To ensure fairness, a rating supervisor who has observed the employee's performance for a significant portion of the rating period in question should conduct the evaluation. The issuance of a NEEDS IMPROVEMENT rating can:

- ❖ Affect future promotions; and
- ❖ If uncorrected, affect the employee's continued employment.

### *Performance Evaluation*

Either an overall NEEDS IMPROVEMENT or overall UNSATISFACTORY rating is considered to be a performance rating that requires improvement.

### *Unsatisfactory Performance Evaluation*

An UNSATISFACTORY rating filed during an employee's initial probationary period results in the release of the employee. An UNSATISFACTORY rating filed during a promotional probationary period may result in demotion to the employee's former position. Continued unsatisfactory performance can result in dismissal.

### **What Should Precede an Unsatisfactory Performance Evaluation?**

Since the issuance of an UNSATISFACTORY rating can have serious consequences, you should be able to demonstrate that:

1. Assigned job duties were consistent with the job specification and discussed with the employee; a written record of discussion(s) was maintained.
2. Applicable rules, standards, regulations, and/or policies were discussed with the employee; a written record of discussions was maintained.
3. Deficiencies or opportunities for growth were discussed with the employee; and a written record of discussion(s) was maintained.
4. Employee was given adequate training and provided with an opportunity for improvement.
5. The rating was based on observable or measurable behavior and reasonable standards.
6. The rating covered an adequate length of time; and that rating period did not include a time period previously rated.
7. Employee was given remedial training; counseled; issued a written warning if warranted, and/or given other corrective action; made aware that dismissal may follow if previous efforts to correct performance have been unsuccessful; and given written record of discussion(s), counseling letters, or other disciplinary action taken.
8. Your action has been discussed with your supervisor and/or Human Resources prior to implementation.



**NOTE:** If no rating was given for the prior year or other rating period it is assumed that the employee's performance was PROFICIENT.

## **V. WORK PLANNING**

### **What Is Work Planning?**

Work planning involves determining the assignments for the upcoming rating period. This phase follows the rating discussion during the performance evaluation interview. If planning is done effectively, the employee will understand the work to be accomplished during the next rating period.

This phase involves getting employee and supervisor to establish and commit to duties, performance standards, and if applicable, measurable goals. This way the employee knows in advance what is expected throughout the rating period and what will be the basis of the rating during the next performance evaluation interview. An employee who has committed his or her job duties to writing for each period tends to accomplish more than an employee who has not followed this process.

### **Why Get Employees Involved In Work Planning?**

Getting an employee involved in work planning allows for personal growth and development. Employee development plans can be developed to help employees improve performance on their present jobs and assist them in preparing for possible promotion through a pre-planned series of learning activities. Emphasis is placed on improving present job performance. Focusing on employee goals, as well as supervisory and organization goals, encourages better job performance because there is better:

- ❖ Understanding of what needs to be done;
- ❖ Communication between the supervisor and employee; and
- ❖ Appreciation of the employee's role and how individual performance impacts on the overall organization.

NOTE: With joint responsibility in the work planning stage, the supervisor is viewed more as a coach than a judge, and the employee is viewed more as an active participant than a passive contributor.

### **Setting Job Expectations**

Setting job expectations involves:

- ❖ Review of the organization's goals to help define those activities and projects that should receive priority in the upcoming rating period.
- ❖ Review of the employee's job description. If the job description is not accurate, it should be discussed with Human Resources and/or your supervisor.

- ❖ Identification of performance standards within the employee's job description.
- ❖ Gathering of additional information from the employee on the tasks and standards that are necessary to support the job; clarification of any uncertain areas; and documentation of the job description and performance standards.
- ❖ Where appropriate, working with the employee in order to translate job objectives into measurable goals.

### **What are Performance Standards?**

A performance standard is a benchmark that enables the supervisor to establish whether work performance is either acceptable or unacceptable. Therefore, performance standards are designed for the purpose of evaluating performance. They are established in addition to the job description in order to provide:

- ❖ A sound basis for the supervisor to rate the employee during the rating period; and
- ❖ A clear understanding for employees of what is expected on the job in order to perform satisfactorily or at an acceptable level.

Establishing and implementing performance standards will make the rating process more effective and defensible.

### **How to Establish Performance Standards**

The following is illustrative of how to establish performance standards for a specific job: (Note: a "clerical/secretarial position" is used in the example.)

1. List major duties in job description:
  - a. Performs a variety of typing duties including standard letters, reports and forms.
  - b. Takes and transcribes dictation.
  - c. Maintains departmental files; ensures that all records are updated and modified.
  - d. Answers the telephone, directs inquiries to appropriate staff, and greets visitors.
  - e. Makes travel arrangements.

Job descriptions are intended to describe the principal duties and responsibilities of the job. They generally do not include performance standards or minor tasks. They may, for example, state that a clerical employee answers telephones, but do not describe how the telephone should be answered.

2. Make a list of standards the employee would need to meet in order to receive a distinguished for each duty. In our example of “answering telephones”, the employee is expected to:

- ❖ Be courteous (state name, organization, and “May I help you?”)
- ❖ Be helpful by providing accurate information to callers
- ❖ Not keep persons waiting on the telephone
- ❖ Take messages accurately and completely on message pads
- ❖ Receive positive feedback from callers
- ❖ Not receive any complaints from callers

5. Group these standards into the various rating categories presented on the performance evaluation form.

For example, standards such as “be courteous” and “do not keep people waiting” fit into the “ability to deal with people” category; whereas “take messages accurately” fits into the “quality of work” category.

**NOTE:** Once standards are grouped, not only does the supervisor have a checklist for the rating form, but the employee is better informed about what is expected throughout the rating period.

## Practice Sheet—Establishing Performance Standards

The purpose of this sheet is to provide you with practice in establishing performance standards. Do as instructed in each step (See sample). In our exercise we use only two duties. In real work planning all the employee's principal duties need to be considered.

1. Select two duties from the job description:
  - A.
  - B.
2. Make a list of standards the employee would need to meet in order to receive an excellent for each duty:
  - A.
    - i.
    - ii.
    - iii.
  - B.
    - i.
    - ii.
    - iii.
3. Group the above standards into the various categories presented on the job-specific rating sheet:

Write in the job categories in the spaces below. Place each performance standard from step 2 under the appropriate category.

_____	_____
A.	A.
B.	B.
C.	C.

## Practice Sheet - Establishing Performance Standards

*Sample exercise for Maintainer*

<b>Step 1.</b> Select two (2) duties from a job description and write them in:	
A. Maintains accurate records	
B. Performs preventive maintenance on equipment	
<b>Step 2.</b> Make a list of standards the employee would need to meet in order to receive an excellent for each duty:	
A.	
i. Records are complete	
ii. Records are accurate	
iii. Records are legible	
iv. Records are completed on time and up-to-date	
B.	
i. Equipment is oiled on or before due dates	
ii. Equipment starts first time	
iii. Equipment is repaired when broken	
iv. Equipment is painted once a year (or as otherwise mandated)	
v. Warrantee instructions are followed	
<b>Step 3.</b> Group the above standards into the various categories presented on the job-specific rating sheet:	
<i>Write in the job categories in the spaces below. Place each performance standard from Step 2 under the appropriate category.</i>	
<b>Quality</b>	<b>Initiative</b>
A. Records are complete	A. Equipment is in good working order
B. Accurate	B. Equipment is repaired timely
C. Readable	C. Preventive maintenance schedule is followed
D. Up-to-date	D. Equipment depreciation schedule is maintained
<b>Ability to work with people</b>	<b>Quantity</b>
A. Stakeholder feedback	A. Not applicable
B.	B.
C.	C.
<b>Dependability</b>	<b>Supervisory Ability</b>
A. Completed on time	A. Not Applicable
B. Equipment oiled B.	B.
C. Equipment painted C.	C.
D. Warranty instructions followed	D.

## Job Goals

Certain jobs lend themselves to setting measurable goals. The establishment of goals represents an exchange between you and your employee and may strengthen the rating system already in use.

Goal setting may not be appropriate for all jobs. Jobs that lend themselves to goal setting are those in which:

- ❖ The employee does something that can be counted or measured (e.g., data entry key strokes); and
- ❖ Work output is a direct function of the employee's individual effort and competence (e.g., Auditor).

To set a goal for a job, the above two conditions should first be met. Otherwise, you may be expecting the employee to achieve results that are beyond the employee's control.

## How to Communicate When Setting Job Goals

When setting goals, the supervisor should follow these guidelines:

1. State the goal. It should be clear and concise.
2. Examine potential problems and obstacles by using:
  - a. *Open-ended questions.* Ask questions which cannot be answered with a simple "yes" or "no".
  - b. *Restatement.* Repeat back, in your own words, the essential meaning of the employee's statement.
  - c. *Expanders.* Find ways to encourage employee to continue talking (e.g. eye contact, nodding, or saying "I see," "interesting point," "go on").
  - d. *Silence.* Remember; do not answer your own questions. Give the employee time to answer them.
3. Identify the key problem raised by the employee. Listening is a good way to accomplish this. By letting an employee talk:
  - a. You can help to reduce potential initial defensiveness. Bear in mind, the employee is also concerned about performance goals.
  - b. You learn more about the situation and the obstacles that must be overcome to achieve the goal.

- c. The employee may be thinking through the problems involved. This is the first step in developing solutions and action steps.
4. Develop possible solutions.
5. Identify specific action steps required to meet the goal.

### **Well-Written Goals Are...**

Specific, measurable, attainable, realistic, and time-bound (SMART):

1. *Specific*: To what extent will the end result be achieved? (e.g., who will have accepted the report? How much of a reduction in accidents will be realized?)
2. *Measureable*: What will be the observable outcome if the goal is accomplished? (e.g., was the report completed and accepted? Were the number of accidents reduced?)
3. *Attainable*: Is the goal achievable or do-able given the available resources, constraints, and time-times proposed?
4. *Realistic*: Is it sensible and practical to assume that the goal can be achieved or expected? Under what conditions should the employee be able to accomplish the goal? By what criteria will the goal be measured? (e.g., how will the report be developed? How will accidents be reduced?)
5. *Time-Bound*: This should include a specific time frame for completion. It would be ideal to work toward a two to three month follow-up date. (e.g., by when will the report be completed? By what date will the accidents be reduced?)

Thus, a well-written goal might be:

Specific:	To complete all annual performance evaluations for regular and probationary staff;
Measureable:	in a manner consistent with Town and Department policies and procedures, and/or applicable collective bargaining agreement;
Attainable/Realistic:	within time constraints for all employees in the assigned department(s); and,
Time-bound:	by June 15 ending the current fiscal year or 16 weeks in the case of probationary employees.



## Practice Sheet - Setting Job Goals

The following exercise will give you practice in establishing job goals. (Refer to the example on the next page.)

Start by choosing a job position for which you wish to establish job goals. Fill in the title of the job position below:	
<i>Position title:</i>	
2. Write three ideas that could be translated into useful job goals for the upcoming rating period.	
a.	
b.	
c.	
3. Write in the specifics of the ideas under each condition:	
Specific	Measureable
a.	a.
b.	b.
c.	c.
Attainable/Realistic	Time-bound
a.	a.
b.	b.
c.	c.
4. Rewrite the ideas into complete job goals including all four conditions:	
a.	
b.	
c.	

### Sample Practice Sheet - Setting Job Goals

1. Choose a job position for which you wish to establish job goals. Fill in the title of the job position below (Ex.):	
<i>Position title:</i>	Trainer
2. Write three (3) ideas that could be transferred into useful job goals for the upcoming rating period.	
a. Prepare training outline and course materials	
b. Conduct training	
c. Report training evaluation information	
3. Write in the specifics of the ideas under each condition:	
<b>Specific</b>	<b>Measureable</b>
a. Course outline/materials completed	a. Guidelines
b. Train 110 days	b. Guidelines
c. Weekly report submitted timely	c. Guidelines
<b>Attainable/Realistic</b>	<b>Time-bound</b>
a. All Trainers	a. By June 30
b. Working with existing course materials	b. Each year
c.	c. Once a week
4. Rewrite the ideas into complete job goals including all four (4) conditions:	
a. All trainers will write a new course curriculum according to standard manual by June 30.	
b. All trainers will train 110 days per year utilizing staff development guidelines.	
c. All trainers will report weekly, on Friday, in accordance with staff development guidelines.	

## **Dos and Don'ts List When Setting Goals**

### **Do:**

1. Make sure employee understands the major responsibilities associated with the goal.
2. Make goals specific rather than general.
3. Relate goals to organizational needs and the strategic plan whenever possible.
4. Revise/modify goals to conform to changing organization needs.
5. Have employee suggest goals when appropriate.
6. Keep goals practical and attainable.
7. Keep goals time-bound as appropriate.

### **Don't:**

1. Set goals too far in advance.
2. Make activities, responsibilities, or tasks too broad or too narrow. Minor tasks should not require formal goals.
3. Become overly involved in completing forms.
4. Be inflexible about altering goals in response to needs.

The ideal outcome to work planning is the establishment of and commitment to achievable goals and goals. The greatest reward for any supervisor should be to help employees find the key to realizing their potential. When employees are making the fullest use of their abilities everyone benefits, and that's the payoff!

## VI. RATING PERIOD

### What is the Rating Period?

A key phase in the performance evaluation process is the period of time between performance evaluations that is referred to as the rating period.

Successful job performance during the rating period requires frequent and planned communication between the supervisor and employee so that:

- ❖ The supervisor is able to monitor the employee's progress on an ongoing basis noting any improvement or regression;
- ❖ The supervisor can help the employee to improve by either changing his or her approach or behavior; identifying the need to develop new skills; or providing additional support to the employee;
- ❖ The employee will be less fearful during the performance evaluation interview, will not be confronted with surprises, and will feel that the process has been fair and equitable.

### Styles of Supervision

The frequency of communication during the rating period is largely a matter of a supervisor's leadership style. Let's look at two approaches of leadership commonly used during the performance evaluation process.

Which type of supervisor are you?

JUDGE	COACH
Focuses on past performance	Focuses on present and future performance and professional development, and empowering employee
Improves performance through reward and punishment	Improves performance through employee self-learning and growth
Evaluates constantly; sits in judgment	Coaches, mentors, or guides; and provides remediation as required
Employees are passive or reactive and frequently in a defensive mode	Employees are actively involved in learning and self-development process

## Developing an Employee Development Plan

Throughout the rating period the supervisor is responsible for:

- ❖ Bringing any problems or shortcomings to the employee's attention;
- ❖ Telling the employee what is expected and how to improve;
- ❖ Coaching and remediation;
- ❖ Conducting ongoing informal discussions; and
- ❖ Providing the employee with an opportunity to improve.

Other corrective action may be required utilizing the principles of progressive discipline. That process, however, is handled separately from performance evaluation and is not a part of this *Guide*.

## Ensuring Fairness

Below are some tips to assure that your evaluations are done fairly and are perceived as being done fairly. Check off the following as you review and understand each one:

1. \_\_\_\_ Establish performance standards that can be applied to all employees holding a particular position.
2. \_\_\_\_ Maintain a critical incident or administrative file of both positive and negative elements of performance. Keep a file on all employees, not just those with performance deficiencies.
3. \_\_\_\_ Be sure that you evaluate employees based only on job requirements and established standards or criteria. Make sure not to evaluate an employee based on non-job-related personal characteristics.
4. \_\_\_\_ Challenge yourself on each rating and make sure you can justify its objectivity (e.g., use employee work samples).

**IMPORTANT:** If the employee's performance does not merit a rating of PROFICIENT or above, do not issue a PROFICIENT evaluation simply to avoid confrontation. An employee who receives an artificially high evaluation may think he or she is doing a good job. Such an employee may be surprised at not receiving a promotion. The employee may then also feel that he or she is being treated unfairly based on some other factor not related to job performance. Without appropriate documentation confirming areas of deficiency, you may have a difficult time proving otherwise.

## **Performance Evaluations as the End Result**

As stated earlier in the manual, a performance evaluation should represent the end result. It is the culmination of information concerning the employee's job performance and accomplishments during the entire rating period.

### *Remember*

A NEEDS IMPROVEMENT or UNSATISFACTORY evaluation should never come as a surprise to an employee. Based on previous dealings with the supervisor during the rating period, an employee should be aware of how he or she is doing and will generally be rated at the end of the evaluation process. The time to start thinking about performance evaluations is at the beginning of and during the rating period, not at the performance interview.

## **Performance Evaluation Forms and Other Tools**

The Performance Evaluation Procedure and performance evaluation forms currently used along with any other relevant policies should be on the District's website.

## CONCLUSION

As we have indicated throughout the *Guide*, performance evaluations when done correctly can be an extremely effective supervisory tool. Yet, where does evaluating performance fit in with other supervisory responsibilities such as strong communication, employee satisfaction, working conditions, etc.?

The answer to this question is that all major supervisory functions are considered important. In order for a supervisor to have a well-run workplace, all human resource issues and responsibilities must be given attention. While a thorough and complete performance evaluation system may not always guarantee proficient employee performance, it does provide a solid foundation for effective supervision.

In conclusion, performance evaluation when done correctly and competently will ensure that employees are:

1. Evaluated fairly and consistently;
2. Receive appropriate recognition and praise; and
3. Provided with assistance in recognizing and correcting performance deficiencies.

Exhibit 1

**PERFORMANCE EVALUATION AND RECOGNITION SYSTEM  
(PERS) HANDBOOK**

Prepared by the Human Resources Department  
For the Town of Darien  
2015 - 2016 EDITION

The Performance Evaluation and Recognition System (PERS) Handbook has been developed to provide Department Heads and other supervisors with information and an overview of the supervisory performance evaluation system for the Town. This PERS Handbook will assist supervisors in developing clear, achievable, measurable, results-oriented performance goals consistent with the Town's strategic plan. *Permission to reference is granted if credit is maintained.*

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## **PURPOSE OF THE PERFORMANCE EVALUATION AND RECOGNITION SYSTEM**

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The purpose of the Performance Evaluation and Recognition System (PERS) is to:

1. Facilitate joint planning between a Supervisor (e.g. Department Head) and Rating Supervisor (e.g., Town Administrator) on what the Supervisor is expected to accomplish.
2. Establish specific, measurable, attainable, realistic, and time-bound (SMART) goals consistent with the Town's strategic plan and priorities, professional practice and considered fair by both the Supervisor and the Rating Supervisor.
3. Promote ongoing communication between the Supervisor and the Rating Supervisor concerning expectations, how well the Supervisor is meeting these expectations, and what steps must be taken to ensure that the established goals and Administrative Competencies are met.
4. Guide regular evaluations of progress and promotion of the Supervisor's professional development.
5. Identify corrective action and professional development needed when a Supervisor has not accomplished a performance goal and/or met an Administrative Competency.
6. Provide a basis for differentiating among levels of performance and thus serve as a basis for a Supervisor's salary increase or pay based on performance.
7. Improve individual job performance and thereby increasing the effectiveness of the program and/or Town.

## THE PROCESS OF DEVELOPING GOALS

### ELIGIBILITY

Supervisors are eligible for the Performance Evaluation and Recognition System (PERS) if they work at the Town of Darien, and are excluded from collective bargaining.

### WHY GOALS?

A goal is a statement of specific results to be achieved within constraints such as time and cost. Goals should be aligned with the strategic plan and include performance measures which make it possible to evaluate whether the goal was satisfactorily achieved, and what is expected in a job well done. One of the advantages of setting goals is that the results achieved are more definable and measurable. The more specific goals are the more objective the evaluation.

### SCOPE OF GOALS

The scope of PERS is the Supervisor's entire job. Therefore, goals and accompanying Administrative Competencies should cover all basic duties and responsibilities of the position as well as important special projects.

### TYPES OF GOALS

Types of goals for PERS purposes are:

- Maintenance - goals concerned with fulfilling normal duties and responsibilities;
- Problem-solving - goals aimed at reducing or eliminating problems; and
- Innovative - goals for new directions that benefit the organization.

Depending on the essential functions and nature of the job, Supervisors may not have the opportunity to set innovative or problem-solving goals each year.

### GOAL SETTING STEPS

To formulate goals, the Supervisor should group basic functions and/or projects into a workable number of goals (4 - 6 is recommended). Those functions will be stated as desired outcomes.

A complete goal:

- Begins with an action verb (e.g., to increase, reduce, install, implement, develop, submit...);
- States a desired result which will define the achievement of the goal (e.g., a 10 percent reduction in cost, a report acceptable to the committee...);

- Is as specific and measurable as possible in terms of cost, any constraints, time required to complete; and
- Relates to the Town's mission and aligns with the Strategic Plan.

At times, it is helpful to break down complex goals into smaller and more specific achievement milestones. An action plan, PERT or Gantt chart may be an excellent organizing tool.

## **PRIORITIES**

Each completed goal should have a priority number assigned to it based upon its **relative importance**. Supervisors may also indicate relative weights (in percentages) for their goals, based on time involved, or importance of results, to help determine the yearly composite rating. For example, a very high rating on a first priority goal will carry considerable weight toward a high final rating. However, the same high rating on a low priority goal would carry less weight. The Supervisor and Rating Supervisor should discuss the amount of difference between the priorities. (e.g., is priority number 2 nearly the same level of importance as priority 1, or only half as important?)

## **PERFORMANCE MEASURES**

The more concrete and specific the goal, the easier it will be to identify performance measures. To do this, ask "How can I tell the difference between a good job and a poor job on this goal?" Quantity, accuracy, efficiency and timeliness are typical considerations. A performance measure defines the quality on the goal, which may have many aspects. For example, to complete a major report performance measures might include: completeness, timeliness, style and format, input from others, and how it is received by its users. Performance measures can refer to both the product (e.g., a 10% increase in student growth) and the process. In addition, strategies to assist in the goal attainment process should be analyzed and considered in the goal setting process.

## **ALIGNMENT TO STRATEGIC PLAN**

Proposed goals should align with the Town's Strategic Plan and be consistent with Town's mission, vision, and core values and beliefs. If the goal aligns with more than one of the Strategic Plan initiatives then such alignment should be noted on the evaluation form.

## **CONSTRAINTS**

The constraints section of the form provides room for a safety valve. Constraints are **anticipated obstacles**, outside the control of the Supervisor, which may affect progress toward achieving the goal. Examples of constraints are budget cuts, cooperation of federal or State agencies, approval by other entities, etc.

## **TARGET DATE**

The target date reflects the date **when a goal should be completed**. For an ongoing goal, the date will be June 30 of the year when the evaluation will occur.

## **ACCEPTANCE OF GOALS**

Once goal agreement is reached between the Supervisor and the Rating Supervisor, signatures and dates should be placed on the front of the PERS form to indicate acceptance.

## **PROGRESS REVIEWS**

Progress reviews ensure continuous feedback to Department Heads and other supervisors during the rating period. It facilitates communication between management levels, and allows the system to be responsive to emerging problems, new opportunities, and changing priorities.

Formal progress reviews (e.g. January 1, and June 1) are required. Results of these reviews should be noted on the PERS form with the date of the meeting and the initials of the Supervisor and Rating Supervisor.

Face-to-face progress meetings between the Supervisor and the Rating Supervisor are essential to make the PERS process effective. Supervisors benefit from the opportunity to review their progress on each goal and administrative competency, to plan any revisions which will be needed to reach their goals, and to seek the advice and counsel of Rating Supervisor. Progress reviews are also an opportunity for the Rating Supervisor to deal with areas in which the Supervisor work is not meeting the Rating Supervisor's expectations, or to reprioritize the work.

### **REVIEW MEETING TOPICS**

Any or all of the following topics could be on the agenda of a progress review meeting:

- Update on progress toward established goals;
- Removal of obstacles to progress;
- Identification of performance problems and proposed solutions and strategies;
- Revision or deletion of an existing goal;
- Addition of a new goal;
- Discussion of overall performance to date.

Any variance between expected and actual progress should be discussed and reconciled. Any major new development may signal the need to hold a progress review.

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## PERFORMANCE REVIEWS

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The summative performance review concludes the PERS cycle for the rating period (typically annually). In this step the Supervisor and Rating Supervisor meet to discuss, summarize and document the results achieved during the rating period.

### MEASURING RESULTS

PERS measures results achieved on established goals and Administrative Competencies to reduce the subjectivity inherent in any performance evaluation system. By using mutually agreed upon performance criteria, both parties use the same yardstick for measuring the Supervisor's performance. If the criteria have been made clear, and the communication of expectations has been open, no surprises should occur at the performance review.

Determining a Supervisor's final rating requires care and skill. The performance review is an occasion for communication, motivation, and learning. Although the evaluation is primarily the responsibility of the Rating Supervisor, the performance review meeting should be structured to enable the Supervisor to participate in the self-assessment of his/her job performance.

### RATING ONLY ASSIGNED WORK AND COMPETENCIES

It is important to remember that each Supervisor can only be rated on his/her assigned goals and Administrative Competencies. This precludes comparison of the worth or importance to the Town of one Supervisor's job over others. The PERS rating should be based on how well assignments are performed by the Supervisor during the rating period, not on how important those assignments are relative to the assignments of other Supervisors.

### VALUE OF THE ANNUAL AND OTHER REVIEWS

The real value of the performance evaluation lies in communication between the Supervisor and Rating Supervisor concerning what has been done well, and where further growth and professional development should be directed. Summarizing the rating period performance, providing constructive feedback on strengths, identifying accomplishments, and opportunities for professional growth and development, or corrective action, are key administrative responsibilities.

## **PERFORMANCE EVALUATION AND RECOGNITION SYSTEM RATING CATEGORIES**

### **EXCELLENT**

This category is reserved for those Supervisors whose achievements are considered distinguished and substantially exceed “proficient” performance levels. Goals and Administrative Competencies must be considerably above the norm. The Department Head or other Supervisor’s quality of results is superior. The Supervisor’s performance is extra-ordinary because of obstacles overcome, achieving particularly difficult goals, or reaching a truly distinguished quality of achievement. The exceptional achievements of the Supervisor who receives an “excellent” overall summative rating should be obvious. To achieve this level, the Supervisor must receive “excellent” ratings in at least three-fifths of his/her goals, with the remaining goals rated no lower than “proficient”. In addition, the Supervisor must receive “excellent” ratings in at least four-fifths of the Administrative Competencies, with the remaining Competencies rated no lower than “proficient”.

### **PROFICIENT**

Performance at this level is fully satisfactory and demonstrates competence in responsibilities of the position. At this level, no more than two (1) goals shall be rated as “needs improvement”, with the remaining goals rated at “proficient” or higher. No more than two (2) Administrative Competencies shall be rated as “needs improvement”, with the remaining Competencies rated at “proficient” or higher. Supervisors in this category require minimal direction. This rating will merit a salary increase within the Supervisor’s salary range.

### **NEEDS IMPROVEMENT**

Performance at this level is below expectations and should not be considered acceptable. Goals and Administrative Competencies are not fully achieved. Supervisors in this category require more than what would be considered normal oversight and direction. Supervisors rated in this category are expected to become “proficient” in a relatively short period of time (no longer than ninety (90) days). A specific Employee Development Plan (PDP) for bringing performance to a “proficient” level must be clearly outlined during the goal setting process. At this level, the majority or two (2) or more goals are rated “needs improvement”, with the remaining goals rated “proficient” or higher. Three (3) or more Administrative Competencies are rated “needs improvement”, with the remaining Administrative Competencies rated “proficient” or higher. The Supervisor may be developing in the position.

### **UNSATISFACTORY**

Performance at this level is clearly unacceptable. Goals and/or Administrative Competencies are not achieved. Supervisors at this level require continuous direction and oversight. At this level, one (1) or more goal is rated as “unsatisfactory”. One (1) or more Administrative Competency(s) is rated as “unsatisfactory”. A specific ninety (90) day Remediation Plan for bringing

performance to a “proficient” level must be clearly outlined in the goal setting process. One (1) “unsatisfactory” overall summative performance rating may be considered grounds for termination. No payout will be made to any Supervisor who receives an overall “unsatisfactory” summative rating.

**NOT APPLICABLE**

This denotes that the Administrative Competency does not apply to the Supervisor being evaluated.



## RECOGNITION AND PAYOUTS

Recognition and payouts are based on the Town's ability to pay and the Supervisor's overall rating category on the summative performance evaluation.

The following percentages are indicative of a typical rating period:

UNSATISFACTORY	NEEDS IMPROVEMENT	PROFICIENT	EXCELLENT
0%	1% - 1.25%	2% - 2.50%	2.75%*

Payouts may change from one rating period to the next as determined by the Board of Selectman.\* The final annual rating and performance payout amount information should be shared with the Supervisor only after the final approval by the Salary Review Committee which is comprised of the Town Administrator, Director of Human Resources, and First Selectmen. The Board of Selectmen is the Salary Review authority for the Town Administrator.

### **SALARY GROUP MAXIMUM**

A Supervisor at the maximum of his/her salary group will be eligible for the same amount received by one within the salary range, but payments above the maximum will be in the form of a lump sum, not built into base salary.

### **REVIEW OF RATINGS**

Recommendations for final ratings, particularly those of "excellent" rating must be reviewed in advance by the Salary Review Committee. It is not appropriate to issue a rating without accompanying supporting documentation.

The final rating and payout information should be shared with the Supervisor only after the final approval by the Salary Review Committee.

### **SYSTEM REVIEW**

The Director of Human Resources will review the PERS process. This will ensure that the:

- Goal setting process is being followed;
- Face-to-face progress meetings are held between the Supervisor and their Rating Supervisor; and
- PERS ratings are being fairly and equitably awarded.

## **NEW HIRE INTO THE SUPERVISOR PAY PLAN**

The annual rating period for all Supervisors shall be July 1 through June 30. Annually, but no later than June 1 of each year, the Rating Supervisor will have reviewed the Supervisor's progress toward established goals and administrative competencies.

New Supervisor hires into the Town will be eligible to receive salary increases as follows:

- a) If hired between January 1 and June 30, the employee will be eligible to receive an increase of one-half of the percentage or dollar amount paid to a proficient employees in the previous increase effective with the beginning of the pay period including July 1 following, and will then be given a July 1 increase date thereafter.
- b) If hired between July 1 and December 31, the employee will have a July 1 increase eligibility date.

Exhibit 2

**PERFORMANCE EVALUATION AND RECOGNITION SYSTEM  
PLANNING AND EVALUATION RECORD**

SUPERVISOR NAME:		
TITLE:	SIGNATURE:	DATE:
DEPARTMENT/PROGRAM:		
RATING PERIOD	FROM:	TO:
RATING SUPERVISOR:		
TITLE:	SIGNATURE:	DATE:

<b>PURPOSE OF THE PERFORMANCE EVALUATION AND RECOGNITION SYSTEM</b>
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The purpose of the Performance Evaluation and Recognition System (PERS) is to:

1. Facilitate joint planning between a Supervisor (e.g. Department Head) and Rating Supervisor (e.g., Town Administrator) on what the Supervisor is expected to accomplish.
2. Establish specific, measurable, attainable, realistic, and time-bound (SMART) goals consistent with the Town's strategic plan and priorities, professional practice and considered fair by both the Supervisor and the Rating Supervisor.
3. Promote ongoing communication between the Supervisor and the Rating Supervisor concerning expectations, how well the Supervisor is meeting these expectations, and what steps must be taken to ensure that the established goals and Administrative Competencies are met.
4. Guide regular evaluations of progress and promotion of the Supervisor's professional development.
5. Identify corrective action and professional development needed when a Supervisor has not accomplished a performance goal and/or met an Administrative Competency.
6. Provide a basis for differentiating among levels of performance and thus serve as a basis for a Supervisor's salary increase or pay based on performance.
7. Improve individual job performance and thereby increasing the effectiveness of the program and/or Town.

**PART I GOALS AND STRATEGIES-THE PLANNING, PROGRESS REVIEW AND COMMUNICATION PROCESS**

The Supervisor, together with the Rating Supervisor, will list the Supervisor's performance goals for the fiscal year rating period in order of priority. Each goal should state what the Supervisor plans to accomplish, how the goal aligns with the Strategic Plan, any constraints, and identify performance measures to determine whether the goals are met, and specify the target date for completion. In addition to informal discussions of progress, the Rating Supervisor must meet with each Supervisor to review accomplishments, identify obstacles, determine future actions, and, if necessary, to revise or update goals.

Priority Number 1:	Target Date:	Alignment to Strategic Plan:		
Goal:				
Constraints:				
Performance Measures:				
Action Steps Taken and/or Adjustments Needed	First Quarter	Second Quarter	Third Quarter	Fourth Quarter
Supervisor's Initials:				
Rating Supervisor's Initials:				
Date:				
Priority Number 2:	Target Date:	Alignment to Strategic Plan:		
Goal:				
Constraints:				
Performance Measures:				
Action Steps Taken and/or Adjustments Needed	First Quarter	Second Quarter	Third Quarter	Fourth Quarter
Supervisor's Initials:				
Rating Supervisor's Initials:				
Date:				

Priority Number 3:	Target Date:		Alignment to Strategic Plan:	
Goal:				
Constraints:				
Performance Measures:				
Action Steps Taken and/or Adjustments Needed	First Quarter	Second Quarter	Third Quarter	Fourth Quarter
Supervisor's Initials:				
Rating Supervisor's Initials:				
Date:				
Priority Number 4:	Target Date:		Alignment to Strategic Plan:	
Goal:				
Constraints:				
Performance Measures:				
Action Steps Taken and/or Adjustments Needed	First Quarter	Second Quarter	Third Quarter	Fourth Quarter
Supervisor's Initials:				
Rating Supervisor's Initials:				
Date:				
Priority Number 5:	Target Date:		Alignment to Strategic Plan:	
Goal:				
Constraints:				
Performance Measures:				
Action Steps Taken and/or Adjustments Needed	First Quarter	Second Quarter	Third Quarter	Fourth Quarter
Supervisor's Initials:				
Rating Supervisor's Initials:				

Date:				
Priority Number 6:	Target Date:		Alignment to Strategic Plan:	
Goal:				
Constraints:				
Performance Measures:				
Action Steps Taken and/or Adjustments Needed	First Quarter	Second Quarter	Third Quarter	Fourth Quarter
Supervisor's Initials:				
Rating Supervisor's Initials:				
Date:				

## PART II ADMINISTRATIVE COMPETENCIES

**Instructions:** The following are the core administrative competencies on which all Supervisors must be rated. These competencies comprise fifty percent (50%) of the Supervisor's final rating. Any competency rating above or below "Proficient" must detail reasons for that rating and if practicable, provide suggestions for improvement. **Note:** Goals #8-10 are applicable only to Supervisors with supervisory responsibilities.

### PLANNING AND MANAGING PROGRAMS

1) Manages financial, staffing, and other resources to meet Department/program. Develops and works within an operating budget. Engages in strategic planning and utilizes a proactive approach to management. Initiates and/or adapts to change when appropriate. Establishes and adjusts office priorities. Identifies problem areas and takes appropriate corrective action.

<input type="checkbox"/> <b>Excellent</b>	<input type="checkbox"/> <b>Proficient</b>	<input type="checkbox"/> <b>Needs Improvement</b>	<input type="checkbox"/> <b>Unsatisfactory</b>
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Comments:

### CUSTOMER SERVICE AND SATISFACTION

2) Creates, implements, monitors, and improves department/programs to provide customer focused services. Demonstrates customer service excellence by improving relationships with internal and external stakeholders.

<input type="checkbox"/> <b>Excellent</b>	<input type="checkbox"/> <b>Proficient</b>	<input type="checkbox"/> <b>Needs Improvement</b>	<input type="checkbox"/> <b>Unsatisfactory</b>
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Comments:

INTERPERSONAL SKILLS			
3) Establishes and maintains productive relationships both within the Town and with outside organizations and contacts. Resolves conflicts in a collegial and conciliatory manner. Works effectively as a team member. Promotes collaboration through the use of good listening, negotiation, and persuasion skills.			
<input type="checkbox"/> <b>Excellent</b>	<input type="checkbox"/> <b>Proficient</b>	<input type="checkbox"/> <b>Needs Improvement</b>	<input type="checkbox"/> <b>Unsatisfactory</b>
Comments:			
PROBLEM-SOLVING			
4) Demonstrates sound judgment in analyzing problems and responding to situations. Renders logical decisions on a consistent basis and in a timely manner.			
<input type="checkbox"/> <b>Excellent</b>	<input type="checkbox"/> <b>Proficient</b>	<input type="checkbox"/> <b>Needs Improvement</b>	<input type="checkbox"/> <b>Unsatisfactory</b>
Comments:			
SELF-DIRECTION			
5) Demonstrates dependability, initiative, and creativity. Organizes own workload, setting and adjusting priorities as needed. Takes steps to improve skills, increase knowledge, and develop own managerial potential.			
<input type="checkbox"/> <b>Excellent</b>	<input type="checkbox"/> <b>Proficient</b>	<input type="checkbox"/> <b>Needs Improvement</b>	<input type="checkbox"/> <b>Unsatisfactory</b>
Comments:			
COMMUNICATION SKILLS			
6) Demonstrates effective oral and written communication skills. Participates in networking, information sharing, and other activities geared toward promoting the flow of information among stakeholders and interested parties.			
<input type="checkbox"/> <b>Excellent</b>	<input type="checkbox"/> <b>Proficient</b>	<input type="checkbox"/> <b>Needs Improvement</b>	<input type="checkbox"/> <b>Unsatisfactory</b>
Comments:			

LEADERSHIP			
7) Serves as a model of professional behavior to staff and students, influencing others to work toward established goals. Fulfills professional responsibilities with honesty and integrity. Adopts a proactive, dynamic approach to programs and projects. Sees the “big picture,” and works at benefiting the Town as a whole instead of individual or local interests. Demonstrates initiative, creativity, and receptivity to innovation.			
<input type="checkbox"/> <b>Excellent</b>	<input type="checkbox"/> <b>Proficient</b>	<input type="checkbox"/> <b>Needs Improvement</b>	<input type="checkbox"/> <b>Unsatisfactory</b>
Comments:			
MANAGING WORKFLOW			
8) Develops and implements plans and procedures for efficient and effective service delivery. Distributes assignments and establishes priorities. Initiates and/or implements procedural changes to streamline work flow and maximize output. Delegates responsibilities as appropriate.			
<input type="checkbox"/> <b>Excellent</b>	<input type="checkbox"/> <b>Proficient</b>	<input type="checkbox"/> <b>Needs Improvement</b>	<input type="checkbox"/> <b>Unsatisfactory</b>
Comments:			
STAFF SUPERVISION			
9) Monitors and evaluates staff performance. Establishes clear expectations. Provides regular and candid feedback to employees on their progress. Actively promotes a spirit of cooperation and teamwork. Increases morale through recognition of staff accomplishments. Administers appropriate and timely coaching and discipline when warranted.			
<input type="checkbox"/> <b>Excellent</b>	<input type="checkbox"/> <b>Proficient</b>	<input type="checkbox"/> <b>Needs Improvement</b>	<input type="checkbox"/> <b>Unsatisfactory</b>
Comments:			
STAFF DEVELOPMENT			
10) Provides guidance and direction to staff through direct individual discussions of employee strengths and opportunities for growth. Promotes professional growth through formal training, as well as on-the-job learning experiences. Through mentoring, coaching, empowerment, skill reinforcement, and developmental work assignments, enhances employee skills and improves areas of deficiency or opportunity. Actively engages in succession planning.			
<input type="checkbox"/> <b>Excellent</b>	<input type="checkbox"/> <b>Proficient</b>	<input type="checkbox"/> <b>Needs Improvement</b>	<input type="checkbox"/> <b>Unsatisfactory</b>
Comments:			



ANNUAL REVIEW AND OVERALL SUMMATIVE RATING				
<p>The Rating Supervisor, after discussion with the Supervisor will recommend the final performance rating for each goal and administrative competency. The goals and demonstrated competencies will comprise 50% <u>each</u> of the final overall summative evaluation. Goals are to be listed in order of priority. If goals are to be weighted, it should be so noted on the form. The summative evaluation rating requirements include: review of the Supervisor's Self-Assessment; targets and goals; review of demonstrated Administrative Competencies; and final performance evaluation conference to discuss evidence, rating, and plan for continuous improvement. To ensure consistency across the Town, the Salary Review Committee which is comprised of the Administrative Officer, Director of Human Resources and First Selectman must review all recommended summative performance ratings prior to the Rating Supervisor assigning a final rating. Upon review by the Committee, each Rating Supervisor will notify his/her Supervisor(s) of the final summative rating on or before June 1<sup>st</sup>.</p>				
RATING DEFINITIONS				
<b>Excellent</b>	Reserved for those Supervisors whose achievements are considered distinguished and substantially exceed proficient performance levels. Goals, job requirements, and administrative competencies must be considerably above the norm in a significant number or areas. Quality of results is superior.			
<b>Proficient</b>	Achieves all goals, job requirements, and administrative competencies. Competent in all responsibilities of the position. Requires minimal direction.			
<b>Needs Improvement</b>	Goals, job requirements, and administrative competencies are not fully achieved. Requires substantial direction. Supervisor may be developing in the position.			
<b>Unsatisfactory</b>	Goals, job requirements, and administrative competencies are not achieved. Requires continuous direction. Overall performance is unacceptable.			
<b>GOALS BY PRIORITY</b>	<b>Excellent</b>	<b>Proficient</b>	<b>Needs Improvement</b>	<b>Unsatisfactory</b>
1.				
2.				
3.				
4.				
5.				
6.				
<b>COMPETENCIES</b>				
<b>SIGNATURES</b> A Supervisor and Rating Supervisor's signature confirms that the rating has been reviewed; it does not necessarily signify agreement.		Supervisor's Signature:		Date:
		Rating Supervisor's Signature		Date:
		First Selectmen's Signature:		Date:
<b>COMPOSITE RATING</b> (Check Only One)	<b>Excellent</b> <input type="checkbox"/>	<b>Proficient</b> <input type="checkbox"/>	<b>Needs Improvement</b> <input type="checkbox"/>	<b>Unsatisfactory</b> <input type="checkbox"/>
<b>COMMENTS</b>				

Exhibit 3

**EMPLOYEE SELF-ASSESSMENT**

Employee Name: \_\_\_\_\_ Position: \_\_\_\_\_

***Look back over the past 12 months and evaluate your performance – assess your accomplishments and projects still unfinished – and try to identify potential roadblocks to improved performance.***

1. List some of your accomplishments over the last 12 months.
2. List those obstacles which hindered your performance or hampered your productivity.

***When you evaluate how well you performed over the last 12 months, can you identify any areas for further improvement?***

3. What areas have you improved on over the last 12 months that you need to continue to maintain?
4. What areas do you feel that you need to improve upon for the next evaluation period and how do you plan to work on these areas?

***What are your goals over the next 12 months?***

you <u>Goal</u> <u>goal</u>	Activities to <u>accomplish goal</u>	How will you know if <u>accomplished</u> <u>your</u>
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- 1.
- 2.
- 3.
- 4.
- 5.

## Exhibit 4

**GENERAL PERFORMANCE EVALUATION FORM**

Form #: PER – 2

Revision Date: 7/14/15

TYPE OF PERFORMANCE EVALUATION (*check appropriate box*)

Initial Probationary: _____ Annual: _____ Promotional: _____ Other ( <i>specify</i> ): _____
Employee Name: _____ Job Title: _____ Date: _____
Division: _____ Department: _____ Date of Last Review _____

**INSTRUCTIONS:** Evaluate the employee on the job now being performed. Mark the box above the horizontal line that most nearly coincides with your overall judgment on each job element. The care and accuracy with which this appraisal is made will determine its value to you, to the employee and to the Town of Darien. Consider the employee's performance since the last evaluation and show by a check (x) whether he/she has regressed, remained the same, or shown improvement in each of the job elements listed to the left.

JOB ELEMENTS	E	VG	P	NI	U	Has Improved	Little or No Change	Has Regressed
<b>Knowledge of Work:</b> Consider knowledge of job gained through experience, general education and training as demonstrated on the job.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Well informed on all phases of work.	Knowledge thorough enough to perform without assistance.	Adequate grasp of essentials. Some assistance.	Requires considerable assistance.	Inadequate demonstrated Knowledge.	<b>COMMENTS</b>		
<b>Quantity of Work:</b> Consider the volume of work produced under normal conditions. Disregard errors.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Rapid worker. Unusually large production.	Turns out large volume.	Average.	Volume below average.	Very slow worker.	<b>COMMENTS</b>		

<b>Quality of Work:</b> Consider neatness, accuracy and dependability of results regardless of volume.	<b>E</b>	<b>VG</b>	<b>P</b>	<b>NI</b>	<b>U</b>	Has Improved	Little or No Change	Has Regressed
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Exceptionally accurate, practically no mistakes.	Seldom necessary to check work.	Acceptable, usually neat, occasional errors or rejections.	Often unacceptable, frequent errors or rejections.	Too many errors or rejections.	<b>COMMENTS</b>		
<b>Ability to Learn New Duties:</b> Consider the speed with which employee masters new routine and grasps explanations. Consider also ability to retain knowledge.	<b>E</b>	<b>VG</b>	<b>P</b>	<b>NI</b>	<b>U</b>	Has Improved	Little or No Change	Has Regressed
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Exceptionally quick at learning and adjusting to changed conditions.	Learns rapidly. Retains instructions.	Average instruction required.	Requires a great deal of instruction.	Very slow at absorbing new routines. Poor memory.	<b>COMMENTS</b>		

<b>Initiative:</b> Consider the tendency to contribute, develop and/or carry out new ideas or methods.	<b>E</b>	<b>VG</b>	<b>P</b>	<b>NI</b>	<b>U</b>	Has Improved	Little or No Change	Has Regressed
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Initiative resulting in frequent saving in time and money.	Resourceful, can meet and handle situations in an efficient and timely manner.	Shows initiative occasionally.	Rarely shows any initiative.	Need constant prodding.	<b>COMMENTS</b>		
<b>Cooperation:</b> Consider manner of handling work relationships.	<b>E</b>	<b>VG</b>	<b>P</b>	<b>NI</b>	<b>U</b>	Has Improved	Little or No Change	Has Regressed
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Goes out of way to cooperate.	Gets along well with associates.	Acceptable.	Shows reluctance to cooperate.	Very poor cooperation.	<b>COMMENTS</b>		
<b>Judgment:</b> Does employee think intelligently and make decisions in a logical manner.	<b>E</b>	<b>VG</b>	<b>P</b>	<b>NI</b>	<b>U</b>	Has Improved	Little or No Change	Has Regressed
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Thinks quickly, logically outstanding.	Judgment usually logical.	Fairly reliable.	Inclined to be illogical.	Poor, unreliable.	<b>COMMENTS</b>		

<b>Other Elements:</b> Consider other elements of job performance which are not included above, yet are job related, e.g., problem solving, supervisory ability, planning and organizing, project management, etc.*	<b>E</b>	<b>VG</b>	<b>P</b>	<b>NI</b>	<b>U</b>	Has Improved	Little or No Change	Has Regressed
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<b>COMMENTS</b>							

\* If comments pertaining to supervisory ability are appropriate, ability to delegate authority, to get work done through subordinates, and observance of personnel and affirmative action policies should be considered.

INDICATE OVERALL EVALUATION OF EMPLOYEE BASED ON CRITERIA BELOW	
<b>EXCELLENT:</b>	<input type="checkbox"/> Excellent in all elements
<b>VERY GOOD:</b>	<input type="checkbox"/> No needs improvement elements and majority of items rated very good or excellent
<b>PROFICIENT:</b>	<input type="checkbox"/> Most elements rated proficient or one element rated needs improvement
<b>NEEDS IMPROVEMENT:</b>	<input type="checkbox"/> No proficient elements two (2) or more elements rated needs improvement
<b>UNSATISFACTORY</b>	<input type="checkbox"/> One or more elements rated unsatisfactory

**COMMENTS (Instructions):** Comments are encouraged on all elements of performance, but are required on only those elements rated **Needs Improvement** or **Unsatisfactory**. Use additional sheet of paper if required.


<b>RATED BY:</b>	Signature	Title	Date
<b>APPROVED BY:</b>	Signature:	Title:	Date:
<b>EMPLOYEE:</b>	Signature:	Title:	Date:

**Note to Employee:** Your signature confirms that you have seen this report and discussed it with your supervisor. It does not indicate your agreement.

**Town of Darien**  
**EMPLOYEE EVALUATION FORM**

EMPLOYEE'S NAME: \_\_\_\_\_

<b>REASON FOR ACTION:</b>	
<input type="checkbox"/> Compliment:	<input type="checkbox"/> Excessive Absence of Lateness:
<input type="checkbox"/> Unsatisfactory Work Performance:	<input type="checkbox"/> Insubordination:
<input type="checkbox"/> Disruptive Work Behavior:	<input type="checkbox"/> Violation of Department Rules
<input type="checkbox"/> Refusal to Perform Assigned Work:	<input type="checkbox"/> Violation of Safety Rules
<input type="checkbox"/> OTHER:	
<b>DESCRIPTION OF INCIDENT (IF APPLICABLE):</b> Provide in a complete but concise manner, relevant information regarding the employee's performance, actions, or behavior displayed. (Attach additional sheet(s) if necessary).   	
<b>ACTION TAKEN BY SUPERVISOR:</b>	
<input type="checkbox"/> Formal Supervisory Commendation (Written)	<input type="checkbox"/> Written Commendation Recommendation
<input type="checkbox"/> Verbal Supervisor Warning	<input type="checkbox"/> Written Reprimand Recommendation
<input type="checkbox"/> Written Supervisory Warning	<input type="checkbox"/> Suspension Recommendation
<i>(Complete next section)</i>	<i>(Supervisor signs and forwards)</i>
<b>CORRECTIVE ACTION TO BE TAKEN:</b>	
<i>Notice:</i> The employee is advised that any further violation of performance standards, rules regulations or policies may result in further discipline up to and including suspension from duty and/or termination of employment.	
<b>EMPLOYEE'S COMMENTS</b>	
<input type="checkbox"/> I agree with the action taken. <input type="checkbox"/> I disagree with the action taken for the following reasons: _____  	
Employee's Signature: _____ Date: _____	
Supervisor's Signature: _____ Date: _____	
<u>This document shall serve as a Written Record</u> to the Employee regarding the described performance or conduct. The employee is advised that any further violation of rules regulations or policies may result in further discipline up to and including suspension from work and/or termination of employment.	
<input type="checkbox"/> Copy to Personnel File and Employee <input type="checkbox"/> Employee met with Supervisor on Date: _____	
<input type="checkbox"/> Remove from Personnel File (if applicable) on: _____	